



CITY OF SAINT PAUL

Randy Kelly, Mayor

TREASURY SECTION

15 West Kellogg Blvd. Telephone: 612-266-8831
Room 160 City Hall Facsimile: 612-266-8840
Saint Paul, Minnesota 55102

Dear Banker/Broker,

Beginning January 1, 1997, government entities must annually obtain from their brokers certain representations regarding future investments. Minnesota Stat. § 118A.04, Subd. 9 requires government entities to provide each broker with information regarding the government entity's investment restrictions. Prior to conducting any business with or for the government entity, the broker must acknowledge these investment restrictions and agree to conduct investment transactions in accordance with them. The City of Saint Paul's Investment Policy and Minnesota Statutes are included for your review.

Please complete the "Notification to Broker and Certification by Broker" form and return it to the address listed above.

**NOTIFICATION TO BROKER AND CERTIFICATION BY BROKER
PURSUANT TO MINN. STAT § 118A.04**

I. Broker Information	
1. Name of firm:	
2. Address	
local: _____	
national: _____	
3. Telephone number: _____ local _____ national _____	
4. Primary representative/manager/partner in charge:	
Name and title: _____	
Phone: _____	
II. Statement of Investment Restrictions:	
To: _____ (name of broker)	
_____ City of Saint Paul _____ (name of government entity) is only authorized to invest in those investments complying with the requirements on Minn. §§ 118A.04, 118A.05, 118.06 and 118A.07.	
_____ (signed by official of local government)	11/17/04 (date)
III. Statement of Additional Investment Restrictions: (fill in if applicable)	
Further be advised that _____ City of Saint Paul _____ (name of government entity) restricts its investments as provided:	
[X] in the City of Saint Paul Investment Policy	
[] in the attached resolution[s] of the governing body.	
_____ (name of government entity) will provide to broker copies of any changes to the Additional Investment Restrictions identified herein..	
_____ (signed by official of local government)	11/17/04 (date)
IV. Certification	
We agree to conduct your investment transactions in accordance with the Minn. Stat. §§ 118A.04, 118A.05, 118A.06 and 118A.07 and the provisions of any Additional Restrictions set forth in Section III above.	
_____ (signed by authorized representative or broker)	_____ (date)

Effective January 1, 1997, prior to completing an initial transaction with a broker, and annually thereafter, this form must be completed. See instructions.